



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Application of: Arun K. Gupta et al.

Docket: 102150-100

Serial No.: 09/631,318

Art Unit: 2761

Filed: August 3, 2000

Examiner: Coles, S.

Assignee: NeuVis Incorporated

Title: AN OBJECT ORIENTED BASED METHODOLOGY FOR  
MODELING BUSINESS FUNCTIONALITY FOR ENABLING  
IMPLEMENTATION IN A WEB BASED ENVIRONMENT

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Name: Jeffrey R. Ambroziak

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**INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER**

Commissioner for Patents  
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Washington, DC 20231

Dear Sir:

Pursuant to 37 C.F.R. §§1.56, 1.97 and 1.98, please find enclosed an Information Disclosure Statement, Form PTO-1449 and one copy of each cited reference. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No certification or fee is required.
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.

- ☐ a. Each item of information contained on Form PTO-1449 filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1); and no fee is required under 37 C.F.R. §1.17(p).
- ☐ b. No item of information cited on Form PTO-1449 filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2); and no fee is required under 37 C.F.R. §1.17(p).
- ☐ Please charge Deposit Account No. 23-1665 in the amount of \$180.00 in payment of the fee under 37 C.F.R. §1.17(p). Two additional copies of this Information Disclosure Statement are enclosed.
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- ☐ a. Each item of information contained on Form PTO-1449 filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(1).
- ☐ b. No item of information cited on Form PTO-1449 filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application

or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. §1.97(e)(2).

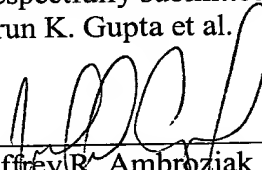
☐ Please charge Deposit Account No. 23-1665 in the amount of \$130.00 in payment of the fee under 37 C.F.R. §1.17(i)(1). Two additional copies of this Information Disclosure Statement are enclosed.

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The undersigned represents that the closest art of which he is presently aware has been cited herein and understands that this statement shall not be construed as a representation that no better art exists or that a thorough patentability search has been made.

The undersigned further represents that the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

Respectfully submitted,  
Arun K. Gupta et al.

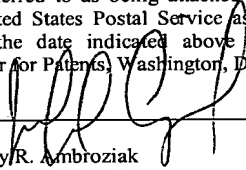
  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Arun K. Gupta, et al.                      Docket: 102150-100  
Serial No.: 09/631,318                      Art Unit: 2761  
Filed: August 3, 2000                      Examiner: Coles, S.  
Assignee: NeuVis Incorporated  
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| Certificate of Mailing                                                                                                                                                                                                                                                                                                                        |                                                                                   |
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| Date of Deposit                                                                                                                                                                                                                                                                                                                               | November 16, 2001                                                                 |
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| Signed:                                                                                                                                                                                                                                                                                                                                       |  |
| Name:                                                                                                                                                                                                                                                                                                                                         | Jeffrey R. Ambroziak                                                              |

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
U.S. Patent and Trademark Office  
Washington, DC 20231

Dear Sir:

In keeping with the duty of candor and good faith owed to the Patent and Trademark Office, Applicant wishes to make of record the items on attached PTO Form 1449 which were considered in the preparation of the subject application. Copies of the items are provided in accordance with 37 CFR §1.98.

1. U.S. Patent No. 5,907,847, entitled "Method and Apparatus for Coupling Object State and Behavior in a Database Management System", by Goldberg, issued May 25, 1999.
2. U.S. Patent No. 5,257,371, entitled "System Packaging Object Class Defining Information", by Anezaki, issued October 26, 1993.
3. U.S. Patent No. 5,758,349, entitled "Process and System for Run-Time Inheritance and Disinheritance of Methods and Data", by Breslau et al., issued May 26, 1998.

4. U.S. Patent No. 5,970,498, entitled "Object Oriented Framework Mechanism for Metering Objects", by Duffield et al., issued October 19, 1999.
5. U.S. Patent No. 5,842,213, entitled "Method for Modeling, Storing, and Transferring Data in Neutral Form", by Odom et al., issued November 24, 1998.
6. U.S. Patent No. 5,966,535, entitled "Method and Apparatus for Generating Program Code for World Wide Web Service Applications", by Benedikt et al., issued October 12, 1999.
7. U.S. Patent No. 5,721,900, entitled "Method and Apparatus for Graphically Displaying Query Relationships", by Banning et al., issued February 24, 1998.
8. U.S. Patent No. 5,706,505, entitled "Method of and System for Binding Data in a Computer System", by Fraley et al., issued January 6, 1998.
9. U.S. Patent No. 5,644,770, entitled "Coupling Rules to an Object-Oriented Program", by Burke et al., issued July 1, 1997.
10. U.S. Patent No. 5,327,559, entitled "Remote and Batch Processing in an Object Oriented Programming System", by Priven et al., issued July 5, 1994.
11. U.S. Patent No. 5,694,601, entitled "Portable and Dynamic Distributed Applications Architecture", by White, issued December 2, 1997.
12. U.S. Patent No. 4,367,525, entitled "CPU Channel Monitoring System", by Brown et al., issued January 4, 1983.
13. U.S. Patent No. 4,542,458, entitled "Method and Apparatus for Assigning Software Resources to Memory Devices", by Kitajima et al., issued September 17, 1985.
14. U.S. Patent No. 4,665,478, entitled "Computer System", by Hirose et al., issued May 12, 1987.
15. U.S. Patent No. 5,265,250, entitled "Apparatus and Methods for Performing an Application-Defined Operation on Data as Part of a System-Defined Operation on the Data", by Andrade et al., issued November 23, 1993.
16. U.S. Patent No. 5,305,389, entitled "Predictive Cache System", by Palmer, issued April 19, 1994.
17. U.S. Patent No. 5,485,610, entitled "Physical Database Design System", by Gioielli et al., issued January 16, 1996.
18. U.S. Patent No. 5,584,035, entitled "Object Based System Comprising User Interface Permitting Manipulation of Objects by Users", by Duggan et al., issued December 10, 1996.

19. U.S. Patent No. 5,655,150, entitled "Recording Device having Alternative Recording Units Operated in Three Different Conditions Depending on Activities in Maintenance Diagnosis Mechanism and Recording Sections", by Matsumoto et al., issued August 5, 1997.
20. U.S. Patent No. 5,675,739, entitled "Apparatus and Methoding for Managing a Distributed Data Processing System Workload According to a Plurality of Distinct Processing Goal Types", by Eilert et al., issued October 7, 1997.
21. U.S. Patent No. 5,680,617, entitled "Computer-Human Interface which Provides for User Customization of Object Behavior", by Gough et al., issued October 21, 1997.
22. U.S. Patent No. 5,692,215, entitled "System for Generating Periodic Reports, Generating Trend Analysis, and Intervention in Accordance with Trend Analysis from a Detection Subsystem for Monitoring Daily Living Activity", by Kutzik et al., issued November 25, 1997.
23. U.S. Patent No. 5,710,920, entitled "Object Extending Method", by Maruyama et al., issued January 20, 1998.
24. U.S. Patent No. 5,721,901, entitled "Method and Apparatus for Displaying a Dialog Box Enabling User Selections from a Database", by Banning, issued February 24, 1998.
25. U.S. Patent No. 5,721,912, entitled "Graphical User Interface for Creating Database Integration Specifications", by Stepczyk, et al., issued February 24, 1998.
26. U.S. Patent No. 5,724,556, entitled "Method and Apparatus for Defining and Configuring Modules of Data Objects and Programs in a Distributed Computer System", by Souder et al., issued March 3, 1998.
27. U.S. Patent No. 5,732,257, entitled "Object Conversion Method from a Flat Object Space to a Class Structured Space", by Atkinson et al., issued March 24, 1998.
28. U.S. Patent No. 5,751,909, entitled "Database System with Methods for Controlling Object Interaction by Establishing Database Contracts Between Objects", by Gower, issued May 12, 1998.
29. U.S. Patent No. 5,764,958, entitled "Method and Apparatus for Creating Dynamic Roles with a System Object Model", by Coskun, issued June 9, 1998.
30. U.S. Patent No. 5,809,266, entitled "Method and Apparatus for Generating Reports Using Declarative Tools", by Touma et al., issued September 15, 1998.
31. U.S. Patent No. 5,848,145, entitled "Automatic Learning of Network Routing Using Random Routes", by Gallagher et al., issued December 8, 1998.

32. U.S. Patent No. 5,850,548, entitled "System and Methods for Visual Programming Based on High-Level Hierarchical Data Flow Model", by Williams, issued December 15, 1998.
33. U.S. Patent No. 5,850,631, entitled "Method for Providing a Graphical Interface for the Specification of Relationships Between Two Schemas", by Golshani et al., issued December 15, 1998.
34. U.S. Patent No. 5,864,862, entitled "System and Method for Creating Reusable Components in an Object-Oriented Programming Environment", by Kriens et al., issued January 26, 1999.
35. U.S. Patent No. 5,872,969, entitled "System and Method for Efficiently Synchronizing Cache and Persistent Data in an Object Oriented Transaction Processing System", by Copeland et al., issued February 16, 1999.
36. U.S. Patent No. 5,872,971, entitled "Data Processing Systems and Methods Providing Interoperability between Data Processing Resources", by Knapman et al., issued February 16, 1999.
37. U.S. Patent No. 5,884,081, entitled "Method and System for Synchronizing Code with Design", by Burbeck, issued March 16, 1999.
38. U.S. Patent No. 5,892,917, entitled "System for Log Record and Log Expansion with Inserted Log Records Representing Object Request for Specified Object Corresponding to Cached Object Copies", by Myerson, issued March 6, 1999.
39. U.S. Patent No. 5,893,105, entitled "Executable Flowchart", by MacLennan, issued April 6, 1999.
40. U.S. Patent No. 5,901,319, entitled "System and Methods for Generating Operating System Specific Kernel Level Code from Operating System Independent Data Structures", by Hirst, issued May 4, 1999.
41. U.S. Patent No. 5,903,897, entitled "Software Documentation Release Control System", by Carrier, III et al., issued May 11, 1999.
42. U.S. Patent No. 5,911,075, entitled "Query Selection for a Program Development Environment", by Glaser et al., issued June 8, 1999.
43. U.S. Patent No. 5,913,061, entitled "Modular Application Collaboration", by Gupta et al., issued June 15, 1999.
44. U.S. Patent No. 5,924,109, entitled "Method and Apparatus for Automatic Generation of External Interface Specifications", by Ackerman et al., issued July 13, 1999.
45. U.S. Patent No. 5,946,682, entitled "Document Retrieval System and Method Employing a Preloading Procedure", by Wolfe, issued August 31, 1999.

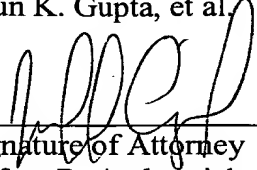
46. U.S. Patent No. 5,946,694, entitled "Apparatus and Method for Transparent Application of Service to Business Objects", by Copeland et al., issued August 31, 1999.
47. U.S. Patent No. 5,956,506, entitled "System and Method for Functionally Enhancing Procedural Software Using Objects", by Cobb et al., issued September 21, 1999.
48. U.S. Patent No. 5,964,828, entitled "Method and System Maintaining the Integrity of Objects", by Cummins, issued October 12, 1999.
49. U.S. Patent No. 5,974,443, entitled "Combined Internet and Data Access System", by Jeske, issued October 26, 1999.
50. U.S. Patent No. 6,003,037, entitled "Smart Objects for Development of Object Oriented Software", by Kassabgi et al., issued December 14, 1999.
51. U.S. Patent No. 5,835,758, entitled "Method and System for Representing and Processing Physical and Conceptual Entities", by Nochur, et al., issued November 10, 1998.
52. U.S. Patent No. 5,915,253, entitled "Method and System for Implementing Objects in a Storage System", by Christiansen, issued June 22, 1999.
53. U.S. Patent No. 6,014,637, entitled "Object Oriented Framework Mechanism for Fulfillment Requirements Management", by Fell et al., issued January 11, 2000.
54. U.S. Patent No. 5,991,535, entitled "Visual Composition Tool for Constructing Application Programs using Distributed Objects on a Distributed Object Network", by Fowlow et al., issued November 23, 1999.

The undersigned represents that the closest art of which he is presently aware has been cited herein and understands that this statement shall not be construed as representation that no better art exists or that a thorough patentability search has been made.

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Respectfully submitted,  
Arun K. Gupta, et al.



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